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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

Exp. Mail EL 951611686

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 014058-005631US

First Inventor

Kindsvogel, Wayne

Title

IMMUNE MEDIATORS AND RELATED METHODS

Express Mail Label No.

EL 951611686 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning design patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 141]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF) - request to use parent
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper number of pages 61
  - c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 C.F.R. § 3.73(b) Statement X Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Supplemental IDS.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

X Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: 09/261,811, filed March 3, 1999

Prior application information: Examiner A. DeCloux

Group Art Unit: 1844

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

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State

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Fax

Name (Print/Type)

Annette S. Parent

Registration No. (Attorney/Agent)

42,058

Signature

Annette S. Parent

Date

02/20/2002

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SF 1316847 v1

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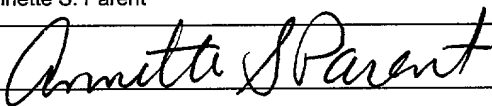
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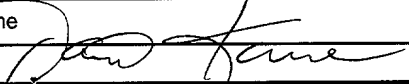
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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>			
	<b>Filing Date</b>			
	<b>First Named Inventor</b>		Kindsvogel, Wayne	
	<b>Group Art Unit</b>			
	<b>Examiner Name</b>			
<b>Total Number of Pages in This Submission</b>		280	<b>Attorney Docket Number</b>	014058-005631US

ENCLOSURES <i>(check all that apply)</i>		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i>  Return Postcard; Fee Trans SB/17 (2); Statement Under 37 CFR 1.821(e)  Comm./Amend. of March 26, 2001 and printed seq. listing pages 1-61; Appl. Data Sheet; Util. Pat. Trans. SB/05; copy of Dec./Power of Atty. from parent; Rev. of Power attaching Statement 3.73(b) and copies of Assignments as exhibits from parent; Info. Disc. Statement; Suppl. Info. Disc. Statement; Preliminary Amendment.
<input type="checkbox"/> Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm and Individual name	Townsend and Townsend and Crew LLP Annette S. Parent Reg. No. 42,058
Signature	
Date	02/20/2002

CERTIFICATE OF MAILING		
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I hereby certify that this correspondence is being deposited with the United States Postal Service with "Express Mail Post Office to Address" service under 37 CFR 1.10 on this date 02/20/2002 and is addressed to:		
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Typed or printed name	Dana Kane	
Signature		Date
		02/20/2002

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Kindsvogel, et al.

Application No./Patent No.: 09/261,811

Filed/Issue Date: 03/03/99

Entitled: Immune Mediators and Related Methods

Corixa Corporation

, a Delaware Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel       , Frame       , or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: KINDSVOGEL, Wayne, GROSS, Jane A., SHEPPARD, Paul To: Zymogenetics, Inc.

The document was recorded in the United States Patent and Trademark Office at Reel 9154, Frame 0017, or for which a copy thereof is attached.

2. From: Zymogenetics, Inc. To: Anergen, Inc.

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3. From:        To:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]**

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

9-27-01

Date

  
Signature

Kathleen N. McKereghan

Typed or printed name

Senior V.P., General Counsel  
and Secretary

Title

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Date of Deposit: February 20, 2002

Attorney Docket No.: 014058-005631US PATENT

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By: 

Dana Kane

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Kindsvogel *et al.*

Serial Number: Not yet assigned

Filed: Herewith

For: IMMUNE MEDIATORS AND  
RELATED METHODS

Examiner: Not yet assigned

Art Unit: Not yet assigned

STATEMENT UNDER 37 CFR 1.821(e)

Box Sequence

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The last filed computer readable form of the sequence listing in parent Application number 09/261,811 is identical with the last filed paper copy of the sequence listing in parent Application number 09/261,811. The last filed paper copy and computer readable forms of the sequence listing were filed March 26, 2001 in parent Application number 09/261,811. In accordance with 37 CFR 1.821(e), please use the computer readable form last filed in the 09/261,811 application as the computer readable form for the instant continuation application. It is understood that the Patent and Trademark Office will make the

necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the last filed Sequence Listing and preliminary amendment is attached hereto.

Respectfully submitted,



Annette S. Parent  
Reg. No. 42,058

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